

01-27-00

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Attorney's Docket No. SEA5112

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): John F. Heanue, John H. Jerman and Jeffrey P. Wilde

WARNING: Patent must be applied for in the name(s) of all of the actual inventor(s) 37 C.F.R. § 1.41(a) and 1.53(b).

For (title): "WIDELY TUNABLE LASER"

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date January 26, 2000, in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL486837633US, addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

Virginia Silva  
(Type or print name of person mailing paper)

Virginia Silva  
Signature of person mailing paper

**1. Type of Application**

This new application is for a(n)

- ☒ Original (nonprovisional)
- ☐ Design
- ☐ Plant
- ☐ Divisional
- ☐ Continuation
- ☐ Continuation-in-part (C-I-P)

**2. Benefit of Prior U.S. Application(s) (35 USC 119(e), 120, or 121)**

☒ The new application being transmitted claims the benefit of prior U.S. application(s) and enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION (S) CLAIMED.

**3. Papers Enclosed Which Are Required for Filing Date Under (37 CFR 1.53(b) (Regular) or 37 CFR 1.153(Design) Application**

Pages of specification: 17

Pages of claims: 2

Pages of Abstract: 1

Sheets of drawing: 10

- ☐ formal
- ☒ informal

**4. Additional papers enclosed**

- ☐ Preliminary Amendment
- ☒ Information Disclosure Statement (37 CFR 1.98)
- ☒ Form PTO-1449
- ☐ Citations
- ☐ Declaration of Biological Deposit
- ☐ Authorization of Attorney(s) to Accept and Follow Instructions from Representative
- ☐ Other

**5. Declaration or oath**

☒ Enclosed

Executed by:

- ☒ Inventor(s).
- ☐ Legal representative of inventor(s). 37 CFR 1.42 or 1.43.
- ☐ Joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
  - ☐ This is the petition required by 37 CFR 1.47 and the statement Required by 37 CFR 1.47 is also attached. See item 13 below for fee.
- ☐ Application is made by a person authorized under 37 CFR 1.41 (c) on behalf of all the above named inventor(s).

☐ Not Enclosed.

## 6. Inventorship Statement

The inventorship for all the claims in this application are:

☐ The same.

or

☐ Not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made,

☐ is submitted.

☐ will be submitted.

## 7. Language

☒ English

☐ Non-English

☐ The attached translation is a verified translation. 37 CFR 1.52(d).

## 8. Assignment

An assignment of the invention to Seagate Technology, Inc.

☒ is attached. A separate ☒ "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" OR ☐ FORM PTO

1595 is also attached.

☐ will follow.

## 9. Fee Calculation (37 CFR 1.16)

A. ☒ Regular application

### CLAIMS AS FILED

| Number filed | Number Extra | Rate | Basic Fee CFR 1.16(a) \$690.00 |
|--------------|--------------|------|--------------------------------|
|--------------|--------------|------|--------------------------------|

Total

|                         |                  |             |              |
|-------------------------|------------------|-------------|--------------|
| Claims (37 CFR 1.16(c)) | <u>20</u> -20= 0 | x \$ 18.00= | <u>00.00</u> |
|-------------------------|------------------|-------------|--------------|

Independent

|                         |                |            |              |
|-------------------------|----------------|------------|--------------|
| Claims (37 CFR 1.16(b)) | <u>3</u> -3= 0 | x \$78.00= | <u>00.00</u> |
|-------------------------|----------------|------------|--------------|

Multiple dependent claim(s),

if any (37 CFR 1.16(d)) + \$260.00=

☐ Amendment canceling extra claims enclosed.

☐ Amendment deleting multiple-dependencies enclosed.

☐ Fee for extra claims is not being paid at this time.

Filing Fee Calculation \$690.00

**10. Small Entity Statement(s)**

- ☐ Verified Statement(s) that this is a filing by a small entity under 37 CFR 1.9 and 1.27 is (are) attached.

(complete the following, if applicable)

- ☐ Status as a small entity was claimed in prior application \_\_\_\_/\_\_\_\_  
filed on \_\_\_\_\_, from which benefit is being claimed for this application under:  
35 U.S.C. ☐ 119(e),  
35 U.S.C. ☐ 120,  
35 U.S.C. ☐ 121,  
35 U.S.C. ☐ 365(c),  
and which status as a small entity is still proper and desired.

- ☐ A copy of the verified statement in the prior application is included.  
☐ Filing Fee Calculation (50% of A, B or C above) \$.....

**11. Request for International-Type Search (37 CFR 1.104(d)) (complete, if applicable)**

- ☐ Please prepare an international-type search report for this application at the time when national examination on the merits takes place.

**12. Fee Payment Being Made at This Time**

- ☐ Not Enclosed  
☐ No filing fee is to be paid at this time.  
(This and the surcharge required by 37 CFR 1.16(e) can be paid subsequently.)

☒ Enclosed

- ☒ Basic filing fee \$690.00  
☒ Recording assignment (\$40.00; 37 CFR 1.21 (h)) \$ 40.00  
(See attached "COVER SHEET FOR ASSIGNMENT ACCOMPANYING NEW APPLICATION".)  
☐ Petition fee for filing by other than all the inventors or person on behalf of the inventor, inventor refused to sign or cannot be reached. \$.....  
(\$130.00; 37 CFR 1.47 and 1.17(h)) \$.....  
☐ For processing an application with a specification in a non-English language. (\$130.00; 37 CFR 1.52(d) and 1.17(k)) \$.....  
☐ Processing and retention fee \$.....  
(\$130.00; 37 CFR 1.53(d; and 1.21 (I)) \$.....  
☐ Fee for international-type search report \$.....  
(\$40.00; 37 CFR 1.21 (e)) \$.....

- ☒ Total fees enclosed \$ 730.00

**13. Method of Payment of Fees**

- ☐ Check(s) in the amount of \$.....  
☒ Charge Account No. 50-0372 in the amount of \$730.00

#### 14. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 50-0372

- ☒ 37 CFR 1.16(a), (f) or (g) (filing fees)
- ☒ 37 CFR 1.16(b), (c) and (d) (presentation of extra claims)
- ☒ 37 CFR 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
- ☒ 37 CFR 1.17 (application processing fees)
- ☒ 37 CFR 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 CFR 1.311 (b))

#### 15. Instructions as to Overpayment

- ☒ Credit Account No. 50-0372
- ☐ Refund

#### 16. Pages Added

- ☐ Incorporation by reference of added pages
- ☒ Plus Added Pages for New Application Transmittal Where Benefit of Prior U.S. Application(s) Claimed-pages added 1.
- ☐ Plus Added Pages for Papers Referred to in Item
- ☒ Plus "Assignment of Invention"-pages added 5 (including cover sheet and witness pages).
- ☐ Statement Where No Further Pages Added  
(If no further pages form a part of this Transmittal, then end this Transmittal with this page and check the following item.)
- ☒ This transmittal ends with this page.



(SIGNATURE OF ATTORNEY/AGENT)

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**ADDED PAGES FOR APPLICATION TRANSMITTAL WHERE BENEFIT OF  
PRIOR U.S. APPLICATION(S) CLAIMED**

**17. 35 U.S.C. 119(e)**

- ☐ Amend the specification by inserting, before the first line, the following sentence:  
☒ This application claims the benefit of U.S. Provisional Application(s) No(s)

Application No.: 60/154,899  
Title: "A WIDELY-TUNABLE DIODE LASER FOR  
TELECOMMUNICATIONS APPLICATIONS"

Filing Date: 20 September 1999

Attorney Docket No.: SEA5112.01

Application No.: 60/167,951  
Title: "MICROACTUATOR FOR TUNABLE LASER"

Filing Date: 29 November 1999

Attorney Docket No.: SEA 5122.01

Application No.: 60/167,937  
Title: "MODULATION OPTIONS FOR A WIDELY-TUNABLE DIODE LASER"

Filing Date: 29 November 1999

Attorney Docket No.: SEA 5124.01

**18. 35 U.S.C. 120, 121 and/or 365(c)**

- ☐ Amend the specification by inserting, before the first line, the following sentence:  
☐ This application claims the benefit of U.S. Patent Application(s) No(s)